

## **Management System: Records Management**

## **Subject Area: Records Management**

# **Procedure: File Plan Maintenance**

**Issue Date and  
Revision Number:**  
4/17/13            0

**Lead Subject Matter Expert:**  
Jackie Schoultheis or Kathy Reid

**Management System Owner:**  
John Sattler

### **1.0 Applicability**

This procedure applies to all Environmental Management Consolidated Business Center (EMCBC) organizations and may be adopted by an Environmental Management (EM) small site or supported site, at their discretion.

### **2.0 Required Procedure**

The purpose of this procedure is to establish a process for the maintenance of the EMCBC Master File Plan (MFP). A file plan provides a standardized records classification scheme that improves filing, enhances access and retrieval, and supports the use of the Department of Energy (DOE) National Archives and Records Administration (NARA)-approved records disposition schedules. The MFP (see Attachment 1 for a “sample” of the EMCBC Master File Plan) describes all categories of records created, received, organized, and maintained at the EMCBC and is integrated into the Electronic Records Management System (ERMS) for use with all media types/formats (e.g., paper, e-mail, electronic, etc.). The MFP is then broken down into organizational file plans (see Attachment 2 for a sample of an organizational file plan) that allows organizations to view only those records created and received by that organization.

The Records Management Field Officer (RMFO) receives assistance from the organizational Records Custodian (RC) to determine records generated or received, the arrangement for each file series, the maintenance, storage and disposition of inactive records..

The file plan was created based on inventories conducted by individual employee interviews; follow-up record inventories will be performed through various means; individual meetings, ERMS training etc., as well as through daily records management activities. The file plan is a “living” document that reflects changes to the office (e.g., departing employees, office moves, etc.).

#### **▲ Clarifying terms if adopted by an EM small site:**

- Records Coordinator (RC) replaces the term Record Custodian (RC).
- Small sites RMFO replaces the term RMFO.
- Site File Plan replaces the term MFP.

<b>Step 1</b>	<b>Record Holder (RH) and/or RC notifies RMFO</b> whenever new records are identified.
<b>Step 2</b>	<p><b>RMFO</b> evaluates the record(s) to determine the file category exists with the organizational file plan/MFP.</p> <p>If a record category code already exists, the RMFO notifies the RH or RC of the appropriate record category assignment.</p> <p>OR</p> <p>If no record category code exists, the RMFO creates a new record category based on the NARA-approved DOE records disposition schedules and adds the new information to the MFP and organizational file plan where it is integrated into the ERMS.</p>
<b>Step 3</b>	<b>Quality Assurance (QA) Records Coordinator</b> and/or the RH shall notify the RMFO of new or existing QA records to ensure the MFP/organizational file plan documents the QA records appropriately (See Reference 1: IP-414-04, “ <i>Quality Assurance Records</i> ”) and Reference 2: Records Management Procedure: “ <i>Identifying, Filing, and Maintaining Paper Records</i> ”.
<b>Step 4</b>	<b>RH or RC</b> shall notify the RMFO of records designated as vital records to ensure MFP/organizational file plan documents vital records appropriately. (See Reference 3: Records Management Procedure: “ <i>Vital Records Identification and Protection</i> ”)
<b>Step 5</b>	<b>RMFO</b> evaluates the MFP annually to ensure accuracy.
<b>Step 6</b>	<b>RMFO</b> ensures the most recent MFP is maintained through the ERMS and the EMCBC Intranet.

### 3.0 References – Forms/Attachments/Exhibits

#### 3.1 References:

- IP-414-04, “*Quality Assurance Records*”
- Records Management Procedure: “*Identifying, Filing, and Maintaining Paper Records*”
- Records Management Procedure: “*Vital Records Identification and Protection*”

#### 3.2 Attachments

- Attachment 1: EMCBC Master File Plan (Sample)
- Attachment 2: Organizational File Plan (Sample)

## 4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the Office of Technical Support and Asset Management (OTSAM) in accordance with the EMCBC organizational file plan.

<b>Records Category Code</b>	<b>Records Title</b>	<b>Responsible Organization</b>	<b>QA Classification (Lifetime, Non-Permanent or N/A)</b>
ADM 16-02-A2	Records Disposition Files – EMCBC Master File Plan	Office of Technical Support & Asset Management	Not Applicable

## EMCBC RECORD OF REVISION

DOCUMENT TITLE: **File Plan Maintenance**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

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Rev. No.	Description of Changes	Revision on Pages	Date
0	N/A 1 <sup>st</sup> Edition to meet EMCBC MS needs.	N/A	4/17/13